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| UTILITY PATENT APPLICATION TRANSMITTAL For new nonprovisional applications under 37 CFR 1.53(b)) | Attorney Docket No. | M-10937-1C US |
| | First Named Inventor or Application Identifier | Shih-Yuan Wang |
| | Title | Growing a Low Defect Gallium Nitride Based Semiconductor (as amended) |
| | Express Mail Label No. | EL884816557US |

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|---|---|
| APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents | ADDRESS TO: Commissioner for Patents Box Patent Application Washington, D.C. 20231 |
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form - <i>see page 2 of this form.</i> (Submit an original, and a duplicate for fee processing) 2. Application: <input checked="" type="checkbox"/> Specification: (preferred arrangement set forth below) Descriptive title of the Invention, Cross References to Related Applications, Reference to Microfiche Appendix, Background of the Invention, Brief Summary of the Invention, Brief Description of the Drawings, and Detailed Description (all totaling <u>7</u> pages) Appendix(ces) <u> </u> , & <u> </u> (<u> </u> pages) <input checked="" type="checkbox"/> Claim(s) <u>3</u> pages <input checked="" type="checkbox"/> Abstract of the Disclosure <u>1</u> page 3. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets <u>4</u>] 4. <input type="checkbox"/> Oath or Declaration <input type="checkbox"/> unsigned [Total Pages <u>2</u>] a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from prior application (37 CFR §1.63(d)) (for continuation/divisional with Box 17 completed) c. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b) 5. <input checked="" type="checkbox"/> Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein. | 6. <input type="checkbox"/> Microfiche Computer Program Appendix consisting of <u> </u> pages of microfiche containing <u> </u> frames on each page in accompanying envelope. 7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies ACCOMPANYING APPLICATION PARTS 8. <input type="checkbox"/> Assignment Papers (cover sheet & documents) <u> </u> pages 9. <input type="checkbox"/> 37 CFR §3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney (combined when there is an <u> </u> with Patent Declaration Assignee) above.) 10. <input type="checkbox"/> English Translation Document (if applicable) 11. <input type="checkbox"/> Information Disclosure <input type="checkbox"/> <u> </u> Copies of IDS Statement (IDS) & <input checked="" type="checkbox"/> PTO-1449 <u>2</u> Citations/References References not included. Cited in parent application <u>SN 09/263.654</u> 12. <input checked="" type="checkbox"/> Preliminary Amendment <u>14</u> pages 13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (should be specifically itemized) 14. Small Entity Status <input type="checkbox"/> Small Entity Statement Enclosed <u> </u> pages <input type="checkbox"/> Statement filed in prior application; and status still proper and desired <input type="checkbox"/> Is no longer claimed. 15. <input type="checkbox"/> Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. <input type="checkbox"/> Other: <input type="checkbox"/> Copy of Petition for Extension of Time filed in parent appln.; <input type="checkbox"/> |
| 17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information and a preliminary amendment: <input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Divisional of prior application No. <u>09/263.654</u> Filed on <u>March 5, 1999</u> , entitled: <u>Buried Heterostructure For Lsers And Light Emitting Diodes.</u> PRIOR APPLICATION INFORMATION: Examiner <u>Q. Leung</u> Group Art Unit <u>2881</u> | |
| 18. CORRESPONDENCE ADDRESS <input type="checkbox"/> Customer Number or Bar Code Label Name <u>Brian D. Ogonowsky</u> Attorneys for Applicant <u>Skjerven Morrill MacPherson LLP</u> Address <u>25 Metro Drive, Suite 700</u> City <u>San Jose</u> State <u>CA</u> Zip Code <u>95110</u> Country: <u>United States</u> Telephone <u>(408) 453-9200</u> Fax <u>(408) 453-7979</u> or <input checked="" type="checkbox"/> Correspondence address below Reg. No. 31,988 | |

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**19. Fee calculations.**

| CLAIMS (Number Filed) | (1) FOR | (2) | | (3) NUMBER EXTRA | | (4) RATE | | (5) CALCULATIONS |
|--------------------------|--|-----|---|---------------------|---|---|----------|---------------------|
| 21 | TOTAL CLAIMS (37 CFR 1.16(c)) | -20 | = | 0 | x | \$18 | = | \$ 18 00 |
| 2 | INDEPENDENT CLAIMS (37 CFR 1.16(b)) | -3 | = | 0 | x | \$84 | = | \$ 0.00 |
| <input type="checkbox"/> | MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.18(d)) | | | | | + | \$280 00 | = |
| | | | | | | BASIC FEE (37 CFR 1.16(a)) | | = \$ 740 00 |
| | | | | | | Total of above Calculations | | = \$ 18 00 |
| | | | | | | Reduction by 50% for filing by small entity (Note 31 CFR 1.9, 1.27, 1.28) | | = |
| | | | | | | TOTAL | | = \$ 758.00 |

20. **FEES:** The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No.

19-2386:

- a. ☒ Fees required under 37 CFR 1.16. (U.S. Application Filing Fees)
 b. ☒ Fees required under 37 CFR 1.17. (Conditional Extension of Time Fees)
 c. ☐ Fees required under 37 CFR 1.18. (Patent Issue Fees)

21. ☐ Other: _____

NOTE: The prior application's correspondence address will carry over to this UPA UNLESS a new correspondence address is provided below.

22. NEW CORRESPONDENCE ADDRESS

| | | | |
|--|-----------|---|--|
| <input type="checkbox"/> Customer Number or Bar Code Label | | <input type="checkbox"/> New correspondence address below | |
| NAME | | | |
| ADDRESS | | | |
| CITY | STATE | ZIP CODE | |
| COUNTRY | TELEPHONE | FAX | |

23. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

| | |
|---|--------------------------------------|
| Skjerven Morrill MacPherson LLP 25 Metro Drive, Suite 700 San Jose, CA 95110 Tel. (408) 453-9200 Fax. (408) 453-7979 | |
| Date: | October 26, 2001 |
| Name | Brian D. Ogonowsky Reg. No. 31,988 |
| Signature | |
| Express Mail Label No. | EL884816557US |